

Schedule 43-3

DEPARTMENT OF ADMINISTRATIVE SERVICES BUDGET DIVISION

APRIL 18, 1988

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

REQUEST FOR APPROVAL OF
RECORDS RETENTION & DISPOSITION SCHEDULE

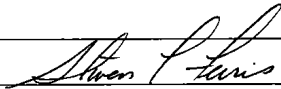
TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA

SCHEDULE NUMBER	43-3
AGENCY, BOARD OR COMMISSION	
DEPARTMENT OF ADMINISTRATIVE SERVICES	
DIVISION, BUREAU OR OTHER UNIT	
BUDGET DIVISION	
Supersedes Edition of December 29, 1983	

PART I — AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE



TITLE

DEPUTY STATE BUDGET ADMINISTRATOR

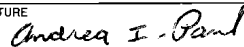
DATE

April 6, 1988

PART II — ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE



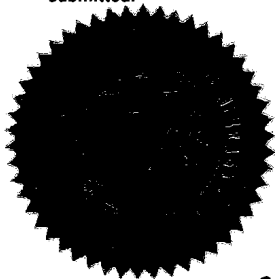
Assistant
STATE ARCHIVIST

DATE

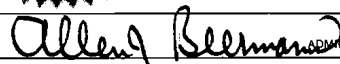
4/8/88

PART III — APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.



SIGNATURE



ADMINISTRATOR

DATE

April 18, 1988

RMA 010058

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, ***regardless of the media on which they reside***, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 43-3 –RECORDS OF THE DEPARTMENT OF ADMINISTRATIVE SERVICES-BUDGET DIVISION

43-3-1 ALLOTMENT STATUS (NAS 310)

Analysis of current expenditures, outstanding encumbrances and available allotment by fund type within program.

DAILY REPORT: Dispose of when superseded.

END OF MONTH REPORT: Dispose of after 5 years.

MICROFILM WORK COPY: Dispose of after 10 years.

SECURITY MICROFILM: Transfer to security storage; dispose of after 10 years.

43-3-2 DELETED

43-3-3 BUDGET FORMS/INSTRUCTIONS

Detailed narrative of how to prepare budget requests.

ORIGINAL RECORD: Dispose of after 3 years.

COPIES: Dispose of when no longer of reference value.

43-3-4 BUDGET REQUESTS

Submitted by all state agencies every biennium. Includes narrative forms, summary request forms by agency and by program, continuation and expanded request forms by subprogram, and detail of personal services, revenue, and equipment requests.

Transfer to the State Records Center after 2 years; transfer to the State Archives after 5 years; retain permanently.

43-3-5 CAPITAL CONSTRUCTION PROJECT REQUESTS

Includes narrative justification, Capital Construction Request Summary, Program Narrative, and Capital Construction Project Request. Itemizes expenditures involved in the project.

Submitted in conjunction with BUDGET REQUESTS.

Transfer to the State Records Center after 2 years; transfer to the State Archives after 5 years; retain permanently.

43-3-6 PROGRAM SUMMARY (NAS 571,572,574)

Monthly report showing monthly and year-to-date expenditures and revenue by account within a fund. Report is broken out by Agency/Program,

Agency/Program/Subprogram, and by Agency/Division/Program. Replaces CUMULATIVE REPORT OF REVENUE BY FUND. **On microfilm only.**

END OF MONTH REPORT: Dispose of after 1 year.

YEAR END REPORT: Dispose of after 5 years.

SECURITY MICROFILM: Transfer to security storage; dispose of after 5 years.

43-3-7 BUDGET STATUS (NAS 671,672,673,674,675,676)

Monthly report providing detailed listing of expenditures by account. Report is generated at the State, agency, program, subprogram, and division levels, and also by University PCS (program classification structure). Previously titled EXPENDITURE REPORT BY OBJECT CLASSIFICATION.

END OF MONTH REPORT: Dispose of paper copy when superseded.

YEAR END REPORT: Dispose of paper copy after 5 years.

MICROFILM WORK COPY: Dispose of after 10 years.

SECURITY MICROFILM: Transfer to security storage; dispose of after 10 years.

TAPE: Dispose of after 3 years.

43-3-8 CASH AND INVESTMENT STATUS (NAS 320)

Daily report provides, by fund, the beginning balance, the net activity of cash receipts, any transfers or warrants written, the ending balance, and future vouchers payable. Report provides cash management information to cover future expenses. Replaces FUND CASH STATUS REPORT and INVESTMENT ACTIVITY.

DAILY REPORT: Dispose of when superseded.

END OF MONTH REPORT: Dispose of paper copy after 5 years.

MICROFILM WORK COPY: Dispose of after 10 years.

SECURITY MICROFILM: Transfer to security storage; dispose of after 10 years.

43-3-9 DELETED

43-3-10 BUDGET HISTORY FILES

History files are maintained on each state agency. Includes calculations for higher education agencies and correspondence for other state agencies. Used in developing budget recommendations.

Dispose of when obsolete.

43-3-11 DELETED

43-3-12 REPORT OF POSITIONS BY SUBPROGRAM (NEI 50220)

Quarterly computer report provides detail by subprogram of all funded positions. On microfilm only.

QUARTERLY REPORT: Dispose of after 1 year.

YEAR-END REPORT: Dispose of after 3 years.

SECURITY MICROFILM: Transfer to security storage; dispose of after 5 years.

TAPE: Dispose of after 3 years.

43-3-13 WORK PAPERS

Raw data used to produce reports, studies, charts, graphs, etc. which become part of the BUDGET HISTORY FILES.

Dispose of concurrently with BUDGET HISTORY FILES.

43-3-14 FUND SUMMARY BY FUND TYPE (NAS 565)

Monthly listing of all debits and credits by fund type and by account, summarized at the State level. Formerly titled REPORT OF OBJECTS BY FUND TYPE.

ORIGINAL RECORD: Dispose of after 10 years.

MICROFILM WORK COPY: Dispose of after 10 years.

SECURITY MICROFILM: Transfer to security storage; dispose of after 10 years.

43-3-15 PERSONAL SERVICES FORM 10 (NEI 50230)

Yearly report used to prepare historical and current salary information for the Budget Request Form 10.

Dispose of after 1 year.

43-3-16 FEDERAL FUNDS FORM 532

Provides additional federal grant information from each agency pertaining to any additional funds received for personal services expenditures.

Dispose of after 1 year.

43-3-17 DELETED

43-3-18 POSITION STAFFING REPORT (NEI 50210)

Monthly computer report providing employee salary information by agency. Corresponds to the REPORT OF POSITIONS BY SUBPROGRAM.

END OF MONTH REPORT: Dispose of paper copy when superseded; dispose of microfilm after 1 year.

YEAR END REPORT: Dispose of after 3 years.

43-3-19 SUMMARY STAFFING REPORT (NEI 50301)

Report is generated monthly, giving, by agency, full time equivalency used, number of positions filled or vacant, number of employees by ethnic group, and number of employees working on a permanent, temporary, full-time or part-time bases.

Transfer to the State Records Center after 2 years; dispose of after 8 years.

43-3-20 SALARY CHANGES BY AGENCY (NEI 50221)

Monthly computer report showing position and employee affected, amount of salary change and reason it was given.

Dispose of when no longer of reference value.

43-3-21 AUTHORIZATION AND CASH ERRORS SUMMARY (NAS 250)

Daily report to summarize by fund and program all documents rejected for errors. Used in conjunction with the ALLOTMENT STATUS REPORT.

Dispose of when superseded.

43-3-22 CHART OF ACCOUNTS (NAS 180)

Monthly computer report providing a listing of all optional accounts and the corresponding description that an agency has elected to use.

END OF MONTH REPORT: Dispose of when superseded.

YEAR END REPORT: Dispose of after 3 years.

43-3-23 PERSONAL SERVICE LIMITATION STATUS (NAS 340)

Issued after each payroll, providing, by program, an analysis of current personal service expenditures, outstanding encumbrances, and available limitation. Budget Office worksheets used to set-up the PERSONAL SERVICE LIMITATION STATUS provide detailed information showing authorization for the amount listed.

BIMONTHLY REPORTS: Dispose of when superseded.

YEAR END REPORT: Dispose of after 5 years.

WORKSHEETS: Dispose of concurrently with year-end reports.

43-3-24 TRANSACTION CODING MASTER (NAS 175)

Identifies lines of coding established by each agency for the transactions of business.

END OF MONTH REPORT: Dispose of when superseded.

YEAR END REPORT: Dispose of after 2 years.

43-3-25 VENDOR DIRECTORY (NAS 190)

Monthly computer report used to provide a comprehensive list, by vendor name, of all vendors currently maintained on the accounting system. Information listed includes the Federal Taxpayer Identification Number (FTIN), type code, and vendor name and address.

Dispose of when superseded.

43-3-26 GRANT/PROJECT STATUS (NAS 330)

Gives description of grant received by agency/division. Shows authorized amount and unexpected balance of each grant. Generated monthly.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-27 CERTIFIABLE ENCUMBRANCES (NAS 365)

Lists all prior year certified encumbrances carried over into the current fiscal year.

Dispose of after 2 years.

43-3-28 BUDGET STATUS EXCEPTIONS

Computer report received monthly with the BUDGET STATUS REPORT. Compares program totals on the BUDGET STATUS to those on the ALLOTMENT STATUS.

Dispose of when superseded or obsolete.

43-3-29 EXECUTIVE BUDGET BOOKS

Gives program recommendations for the next 2 fiscal years, as proposed by the Governor. Books are distributed to the Library Commission for permanent records.

Dispose of when no longer of reference value.

43-3-30 CONSTRUCTION SUMMARY (NAS 590)

Monthly report summarizing operations and construction expenditures by fund within each agency.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-31 AGENCY ACCOUNT SUMMARY (NAS 775)

Monthly listing, by agency, of all debits and credits by fund type and by account. Replaces AGENCY REPORT OF OBJECTS BY FUND TYPE.

ORIGINAL RECORD: Dispose of after 10 years.

MICROFILM WORK COPY: Dispose of after 10 years.

43-3-32 GENERAL LEDGER (NAS 530)

Lists payees and amounts paid, account codes, document numbers and transaction dates for all expenditures at the subprogram level. Received monthly.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-33 ANNUAL GENERAL LEDGER (NAS 730)

GENERAL LEDGER showing an entire year's transactions.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-34 FUND SUMMARY (NAS 560)

Monthly listing of debits and credits by account within a specific fund, broken out by agency. Replaces CUMULATIVE REPORT OF REVENUE and REPORT OF REVENUE BY SOURCE AND FUND.

ORIGINAL RECORD: Dispose of after 5 years.

END OF MONTH REPORT: Dispose of after 2 years.

YEAR-END REPORT: Dispose of after 5 years.

43-3-35 FUND DETAIL (NAS 540)

FUND SUMMARY at the subprogram level. On microfilm only.

END OF MONTH REPORT: Dispose of after 2 years.

YEAR-END REPORT: Dispose of after 5 years.

43-3-36 POST CLOSING FUND SUMMARY (NAS 760)

FUND SUMMARY summarized to show year-end balances. Received annually.

Dispose of after 5 years.

43-3-37 GRANT/PROJECT LEDGER (NAS 580)

Monthly report listing grant description and monthly, quarterly, year-to-date and total-to-date expenditures of each grant by agency/division and account. Detailed for each transaction.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-38 ANNUAL GRANT/PROJECT LEDGER (NAS 780)

GRANT/PROJECT LEDGER showing an entire year's transactions. Received annually.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-39 GRANT/PROJECT SUMMARY (NAS 582)

Monthly summary of transactions listed on the GRANT/PROJECT LEDGER.

MICROFILM WORK COPY: Dispose of after 2 years.

43-3-40 GRANT/PROJECT CASH AND INVESTMENT STATUS (NAS 325)

Shows beginning balance, net activity and ending balance by project and account. Received daily.

DAILY REPORT: Dispose of when superseded.

END OF MONTH REPORT: Dispose of after 2 years.

43-3-41 GRANT/PROJECT TRANSACTION CODING MASTER (NAS 185)

Identifies lines of coding established by each agency to accomplish grant objectives. Received monthly.

Dispose of after 2 years.

43-3-42 ENCUMBRANCE ACTIVITY

Computer generated report listing encumbrance activity as of 6/30/xx.

Dispose of after certified listing is available.

43-3-43 ENCUMBRANCE CERTIFICATION ALLOTMENT STATUS (NAS 310)

ALLOTMENT STATUS containing the exact amount of certified encumbrances. Used to check encumbered amounts against total appropriations. Used in conjunction with the ENCUMBRANCE CERTIFICATION PERSONAL SERVICE LIMITATION STATUS. Received Annually.

Dispose of after 3 years.

**43-3-44 ENCUMBRANCE CERTIFICATION PERSONAL SERVICE LIMITATION
STATUS (NAS 340)**

PERSONAL SERVICE LIMITATION STATUS showing the exact amount of certified personal service encumbrances. Received annually with the ENCUMBRANCE CERTIFICATION ALLOTMENT STATUS. Used to check encumbered amounts against personal service limitations.

Dispose of after 3 years.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet